Notice of Federal Funds Availability

Overview

Federal Agency Name: Corporation for National and Community Service
Funding Opportunity Title: Non-Profit Capacity Building Program
Announcement Type: Notice of Federal Funds Availability
Catalog of Federal Domestic Assistance (CFDA) Number: 94.022

Dates: Applications are due on Tuesday, August 9, 2011 by 5:00 p.m. Eastern Time. Successful applicants will be notified by the end of September, 2011.

Overview: This Notice of Federal Funds Availability (Notice) announces the availability of funding for the Nonprofit Capacity Building Program (NCBP), authorized by the Edward M. Kennedy Serve America Act of 2009. The NCBP is administered by the Corporation for National and Community Service (the Corporation), whose mission is to improve lives, strengthen communities, and foster civic engagement through service and volunteering. As the nation's largest grantmaker for service and volunteering, the Corporation builds the capacity of America's nonprofit sector by expanding the reach and impact of volunteers to address pressing social problems.

While the Serve America Act expands opportunities for Americans to serve through AmeriCorps and Senior Corps, it also broadens the Corporation's role around catalyzing social innovation and support for the nonprofit sector beyond these traditional grant programs. By creating the NCBP, Congress has recognized that many small and medium sized nonprofit organizations are significantly challenged in their ability to sustain and expand services and that organizational development assistance may be necessary to ensure the continuation of much-needed services in local communities. Through grants awarded in this competition we aim to build the capacity of small and midsize nonprofits to develop and implement performance management systems. Research suggests that an established framework of performance management is the pre-requisite and predictor of success on other aspects of nonprofit health such as financial planning and sustainability. Grantees will provide recipients with organizational development assistance to establish procedures for measuring progress and improving performance towards intended outcomes leading to community impact.

In accordance with the Obama Administration's emphasis on open government, the Corporation has moved toward greater openness and transparency in grant making. This Notice includes a description of the review and selection process in Section V., below. In addition, the following information pertaining to this competition will be published on the CNCS website at (http://nationalservice.gov/about/open/grants.asp), within a period not to exceed 90 business days after all grants are awarded:

- List of all compliant applications submitted.
- Executive summaries of all compliant applications prepared by the applicants as part of the application.
- Copies of the SF424 and Program Narrative for successful applications.

I. Funding Opportunity Description

What is the purpose of Nonprofit Capacity Building Program?
The purpose of the Nonprofit Capacity Building Program (NCBP) is to increase the capacity of a small number of intermediary grantees to provide specific assistance to improve the sustainability of and expand services provided by small and midsize nonprofits in communities facing resource hardship challenges.

How does the Corporation define capacity building?
For the purposes of this competition, capacity building is defined as the provision of organizational development assistance designed to improve the performance of a nonprofit organization on specific indicators (see Section VII of this *Notice*). For the purposes of this competition, there is only one key indicator for improvement -- the ability of the nonprofit organization to fully implement a comprehensive performance management system. Organizational development assistance can encompass a broad range of activities such as face-to-face and online training; technical assistance in person, by telephone, and online; and peer-to-peer or expert consultation, coaching, and mentoring; as well as other efforts to increase organizational infrastructure (see Section IV of this *Notice).*

What are the priorities for this funding?
The Corporation is committed to investing these resources to:

1. ***Build the capacity of nonprofit organizations that are, or are seeking to become, intermediary nonprofit grantees in geographic areas where nonprofit organizations face significant resource hardship challenges.*** Applicants must propose a defined geographic "service area" of operation. The scope of the service area can be city-wide, multi-city, state-wide, or limited multi-state region. The applicant must demonstrate a track record of operating within the defined service area and have a network of relationships with small and midsize nonprofits and other institutional partners in the area. The applicant must also be able to demonstrate that nonprofit organizations in their defined service area face significant resource hardship challenges. Acceptable criteria for demonstrating "areas facing significant resource hardship challenges" can be found in Section IV. of this *Notice*.

2. ***Assist both a large number of small and midsize nonprofit organizations within a geographic service delivery area <u>and</u> demonstrate impact*.** The Corporation is interested in the extent to which the intermediary has the capacity to both assist a large number of nonprofit organizations within a service delivery area, relative to the proposed amount of the grant, and can demonstrate progress on key indicators of success. Research on effective intermediaries suggests that those that operate within a well-defined service area with existing and ongoing relationships in the community are more likely to demonstrate impact in building capacity of nonprofit organizations. Applicants will propose a process for selecting a certain number of small and midsize nonprofits within its defined service area to which it will provide organizational development assistance in an ongoing relationship over the life of the grant. Applicants will also identify activities (such as publically offered trainings) designed to reach and serve additional nonprofits within the service area. A further discussion of the process used to select ongoing beneficiaries and the kinds of organizational assistance activities the Corporation expects to see can be

found in Section V. of this *Notice*.

3. ***Build the capacity of small and midsize nonprofits to develop and implement a performance management system.*** Given the limited funding of this competition, applicants will focus their organizational development assistance program on developing and implementing performance management systems that enable organizations to measure their progress and improve their performance towards intended outcomes. The desired organizational performance management systems may also seek to align organizational goals and services with performance plans of staff and volunteers and be used to measure and reward performance toward specific outcomes. The applicants may also provide assistance in additional areas of best practices in nonprofit management including financial planning, grant-writing, and compliance with tax laws applicable to those being served with the intent that recipients will be able to show an increase in resources. For a further discussion of the Corporation's expectations around the capacity building program design, see Section IV. of this *Notice*.

4. ***Provide assistance to organizations that provide services that align with the Corporation's priority areas.*** The Corporation is also committed to investing in the growth of nonprofit organizations that provide services that align with our national priorities. Intermediaries will focus their ongoing assistance on small and midsize nonprofits that address community needs in one or a combination of the following six national service priority areas:

   Education
   Provide services that help children and youth achieve success in school and increase high school graduation rates.

   Healthy Futures
   Provide services such as access to health care, disease prevention and health promotion initiatives, and health literacy.

   Environmental Stewardship
   Provide energy-efficiency and other environmental conservation or restoration services within communities.

   Veterans and Military Families
   Provide services to veterans, members of the Armed Forces who are on active duty, and family members of deployed military personnel and/or engage veterans in service.

   Economic Opportunity
   Provide services relating to economic opportunity for economically disadvantaged individuals within communities including financial literacy, housing assistance, job training, and nutritional assistance.

   Disaster Services
   Build the capacity of national service network organizations to help their states and localities prepare, respond, recover and mitigate disasters and increase community resiliency.

5. ***Increase the capacity of a network of intermediaries committed to leveraging additional resources to assist small and midsize nonprofits.*** The NCPB program provides an opportunity to increase the capacity of intermediaries working in areas where nonprofits

face resource hardship challenges and catalyze additional resource investments in those communities. NCBP grantees are expected to match the Federal funds received (dollar-for-dollar, in cash). Applicants must demonstrate the ability to meet the cash requirement as a part of applicant clarification, which will occur after the application deadline but before the date of award.

II. Award Information

How much funding is available?

For fiscal year 2011, the Corporation has approximately $998,000 to award new cooperative agreements.

What is the award amount?

The Corporation expects to award up to five awards ranging from approximately $200,000 to $998,000 each. The Corporation will select no more than one intermediary based in a particular state.

What is the award period?

The Nonprofit Capacity Building Program award period is two years.

What is the type of Funding Instrument used for these grants?

The funding instrument is a cooperative agreement which provides for substantial involvement by the Corporation with the intermediary organizations as they carry out approved activities. The assigned Corporation program officer will confer with the award recipient on a regular and frequent basis to develop and/or review service delivery and project status, including work plans, budgets, periodic reports, etc. In particular, the Corporation anticipates having substantial involvement in:

- Reviewing the design and implementation of the selection process for ongoing beneficiaries;
- The development of final plans and timeline for measuring performance and improvement;
- The development of best practices deliverables; and
- Other appropriate activities as defined in collaboration with Corporation staff members.

The Corporation will also have substantial involvement with NCBP intermediaries in the development, organization, and facilitation of learning communities. A learning community, or "community of practice", is a group of grantees that agrees to interact regularly to solve a persistent problem or improve practice in an area that is important to them. Establishment of a learning community under the NCBP will enable grantees to meet, discuss, and collaborate with each other regarding grantee projects and learnings. The Corporation expects the learning community to involve input from experts and community stakeholders, and share lessons and insights broadly to inform the work of the larger nonprofit capacity building community. The Corporation also requires that the products or learnings of NCBP grantees as a result of the program be uploaded to the Corporation's Resource Center site for ongoing use and dissemination.

III. Eligibility Information

Who is eligible for this funding?
This competition is open to all entities that meet the eligibility criteria as specified in this *Notice*. Prior receipt of Corporation or other Federal grant funding is not a prerequisite to applying under this *Notice*.

To be eligible for a NCBP award, applicants must:

- Be a nonprofit organization as described in section 501(c) (3) of the Internal Revenue code of 1986 and exempt from taxation under section 501 (a) of such code; or an entity of organization described in paragraph (1) or (2) of section 170(c) of such Code.
- Operate within a defined geographic service area that can be city-wide, multi-city, state-wide, or limited multi-state region, and must be able to demonstrate that the nonprofits in its service area face significant resource challenges (See Section IV for justification criteria).
- Have a strong track record of providing organizational development or capacity building assistance focusing on small- to mid-size nonprofit organizations. A further discussion of the evaluation criteria for experienced and capable intermediary nonprofit organizations can be found in Section V.

Are current Nonprofit Capacity Building Program grantees eligible to apply?
Current Nonprofit Capacity Building Program grantees are eligible to apply. However, to be competitive, current grantees should demonstrate adequate progress on their current grant and explain how or whether their current activities would support or enhance the work they are already conducting under their existing Nonprofit Capacity Building grant.

What are the matching requirements?
Applicants must propose, in their application, to provide match equal to 100% of the total budget for the Federal share. The non-Federal share of the budget represents the dollar-for-dollar matching funds requirement under this *Notice*. An applicant shall provide the non-Federal share of the cost through contributions from third parties which may include the following: charitable grant-making entities, grantmaking vehicles within existing organizations, entities of corporate philanthropy, corporations, individual donors, and limited multi-state region, state or local government agencies, and/or other non-Federal sources. If the applicant is a private foundation (as defined in section 509 (a) of the Internal Revenue Code of 1986), a donor-advised fund (as defined in section 4966 (d) (2) of such Code), or an organization which is described in section 4966 (d) (A) (B) of such Code, the applicant shall provide the non-Federal share from within its own funds. A non-Federal share that includes donations by third parties shall be composed in a way that does not decrease prior levels of funding from the same third parties granted to the applicant in the preceding year.

Applicants must demonstrate, at the time of applicant clarification (after the application deadline but before the end of August), that they meet the match requirement: cash-on-hands or commitments (or a combination thereof) of funds equal to 100% of the total budget for the Federal share. Therefore, applicants must be prepared to submit the required documentation when requested. Instructions for the submission of match verification documents will be provided as a part of the application clarification process. Signed letters from a third-party source or sources confirming the donation of cash and the amount, along with an assurance that the third party's contribution of matching to the NCBP will not result in a decrease in prior levels of funding from that same third party can be sent via email to NCB@cns.gov or via overnight carrier (non-U.S. Postal Service because of security-related delays in receiving mail from the U.S. Postal Service) to the following address:

Corporation for National and Community Service
ATTN: Office of Grants Policy and Operations/NCBP application
1201 New York Ave, NW
Washington, DC 20525

If you are a private foundation or donor-advised fund applicant using your own internal funds for the required match, document board concurrence with use of the funds for this program by submitting a signed letter from your board chair via the same methods above.

IV. Application and Submission Instructions

When are applications due?
Applications are due no later than 5:00 p.m. ET on Tuesday, August 9, 2011. Applications must arrive at the Corporation by the deadline in order to be considered.

Where can I request application information?
This *Notice* may be found on the Corporation's website: http://www.nationalservice.gov/for_organizations/funding/nofa.asp or by contacting NCB@cns.gov.

Do I need to submit a letter of intent to apply?
If you intend to apply please send an email to: NCB@cns.gov by July 22, 2011. Although submission of the notice of intent to apply is not mandatory, your email will help the Corporation plan more efficiently for the review of applications. In your email please, include the name of your organization, address, contact person, and phone number.

What is a DUNS number and is it required?
Applications must include a Dun and Bradstreet Data Universal Numbering System (DUNS) number and register with the Central Contractor's Registry (CCR). **The DUNS number does not replace an Employer Identification Number (EIN).**

DUNS numbers may be obtained at no cost by calling the DUNS number request line at (866) 705-5711 or by applying online: http://fedgov.dnb.com/webform.

The website indicates a 24-hour e-mail turnaround time on requests for DUNS numbers; however, we suggest registering at least 30 days in advance of the application due date. Expedited DUNS numbers may be obtained by following instructions found here: http://smallbusiness.dnb.com/establish-your-business/12334338-1.html.

CCR is the primary registrant database for the U.S. Federal Government. CCR collects, validates, stores, and disseminates data in support of Federal agency contracts, grant awards, cooperative agreements, and other forms of federal assistance. All grant recipients are required to maintain a valid registration, which must be renewed annually.

We urge applicants that are not already registered with the CCR to begin the registration process immediately in order to avoid any delays in submitting applications. Applicants must have a DUNS number in order to register with the CCR. It typically takes 3-5 days to finalize CCR registration. To register online go to www.bpn.gov/CCR.

See Appendix B for additional requirements on CCR and DUNS information.

How do I submit an application?

The Corporation requires that all applicants submit their applications electronically utilizing the Corporation's web-based application system, eGrants. Applications must arrive at CNCS by Tuesday, August 9, 2011 at 5:00 p.m. Eastern Time in order to be considered. CNCS reserves the right to extend the submission deadline. Any notice of such extended deadline will be posted in eGrants.

We recommend that applicants create an eGrants account and begin the application at least three weeks before the deadline. Applicants should draft the application as a word processing document, then copy and paste the document into eGrants no later than ten days before the deadline.

Contact the National Service Hotline at 800-942-2677 or https://questions.nationalservice.gov/app/ask if a problem arises while creating an account, preparing, or submitting an application. Be prepared to provide the application ID, organization's name, and the NOFO to which you are applying. National Service Hotline hours are 8:00 a.m. to 8:00 p.m. Eastern Time, Monday through Friday.

If technical issues will prevent an applicant from submitting an application on time, please contact the National Service Hotline prior to the deadline to explain the technical issue and receive a ticket number. If the issue cannot be resolved by the deadline, the applicant must continue working with the National Service Hotline to submit via eGrants.

Late Applications

The Corporation may consider an application after the deadline, but only if the applicant submits a letter explaining the extenuating circumstance which caused the delay. The letter must be sent to LateApplications@cns.gov within the 24-hour period following the deadline. Late applications are evaluated on a case-by-case basis.

If extenuating circumstances make the use of eGrants impossible, applicants may send a hard copy of the application to the address below in Section VIII of this *Notice*, **Agency Contact** (below), via overnight carrier. Please use a non-U.S. Postal Service because of security-related delays in receiving mail from the U.S. Postal Service. All deadlines and requirements in this Notice apply to hard copy applications. Hard copy applications must include a cover letter detailing the circumstances that make it impossible to submit via e-Grants.

Do not submit supplementary material such as videos, brochures, letters of support, or any items not requested in this *Notice.* CNCS will not review or return them.

How is an application created in eGrants?

If you need help establishing a new organization account in eGrants, or a new user account for an existing organization account, please refer to the eGrants Help Desk website: http://www.nationalservice.gov/egrants/help.asp

After you create your eGrants account, begin by selecting "New" under the *Creating an Application* heading on your Home Page. Select "Other" as the *Program Area* and click "Go". You will then be asked to *select a NOFA.* Choose: **Nonprofit Capacity Building Program FY2011.** Once you create an application, you will be allowed to edit as needed up until the time you submit.

When re-entering eGrants do <u>not</u> use the ***New*** button again as this will start a brand new application. Once you have initiated an application, it will be listed in the View My Grants/Applications section of the homepage under the status: *Grantee Edit of Application or Report.* If you exit and then return to eGrants and wish to continue entering or editing your application, please open your saved version by selecting *View My Grants/Applications* in the status *Grantee Edit of Application or Report*.

What must be included in an application?

This *Notice* contains all application instructions and is available at http://www.nationalservice.gov/for_organizations/funding/nofa.asp
Application Instructions are approved under OMB Control# 3045-0129, Expiration Date 11/30/2011. They are formatted to correspond to fields in eGrants and clarified through this *Notice*.

The application must provide a well-designed plan with a clear and compelling justification for awarding the requested funds. The narrative must cover the program operations for the full two year grant period. In evaluating your application, reviewers will assess the narrative on the basis of your program design, organizational capacity, and budget adequacy/cost effectiveness.

Please note that character limits include spaces. When drafting narrative responses, we recommend using word processing software that will check spelling and count characters. Use only uppercase letters for all section headings and other information you would like to highlight in your narrative. Bold face, bullets, underlines, or other types of formatting, charts, diagrams, and tables will not copy into eGrants.

The completed application will consist of the following components, described in detail below:

1. **Standard Form 424** (SF-424) Facesheet
2. **Executive Summary** (maximum length, 2,000 characters)
3. **Narratives** (maximum length – 25,000 characters)
    a. Program Design
    b. Organizational Capacity
    c. Cost Effectiveness/Budget Adequacy
4. **Standard Form 424A Budget**

5. **Authorization, Assurances, and Certifications**
6. **Survey on Ensuring Equal Opportunity *(Optional)***

1. Standard Form 424 Facesheet

The Standard Form-424 Facesheet is required for applications submitted for federal assistance. The SF-424 contents are duplicated in eGrants, although the format is different.

Please note that the SF-424 is automatically generated by completing the data elements in the eGrants system. When completing the application in eGrants, many of the fields will be populated with information entered during the organization's registration process.

Applicant Info

Please note that the *Authorized Representative* name is blank. You cannot select a name for this field. Instead, the Authorized Representative will need to have his/her own account to click on the Assurances and Certifications at the end of the application in eGrants and found in Attachment A if hard copy is needed.

Under *Project Information* select, "Enter New" and choose a title for the proposed project. It is possible to enter another address for the project, which may or not be the same as that of the Legal Applicant.

To select an individual as the *Project Director*, choose a name from the pull-down menu or add a new contact.

Application Info

Areas affected by the project: List only the largest political or municipal entities affected (e.g., counties and cities).

Enter the dates for the ***proposed project start and end*** dates. Your project period is up to two years and must begin before the award date.

Intergovernmental Review of Federal Programs: This program is NOT subject to Executive Order 12372.

Delinquent on any federal debt: Check the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit allowances, loans, and taxes. If Yes, type your explanation in the text box provided.

State Application Identifier: Enter N/A.

Note: Falsification or concealment of a material fact or submission of false, fictitious, or fraudulent statements or representations to any department or agency of the United States Government may result in a fine or imprisonment for not more than five (5) years, or both. (18 USC § 1001)

2. Executive Summary

The Executive Summary may not exceed 2000 characters or approximately 1 page, including spaces and punctuation, and should be completed using the following guide.

Title:

For the title of your Executive Summary, use the name of the sole or lead intermediary (if coming in as a collaborative)

Summary information:
Briefly summarize your proposed program and please provide the following information on separate lines:
Name and location of sole or lead intermediary
Names and locations of any additional organizations that are a part of your collaboration (if applicable), listing their core competency(ies)
A brief summary of your program proposal including your overall objective(s) and key methodologies or strategies you are proposing to use to accomplish your objective(s)
The geographic area(s) or communities you are proposing to serve
The number of small and midsize nonprofits you plan to serve
Identify the grant amount you are requesting

Executive Summaries of all compliant applications will be published on the CNCS website after grants are awarded.

3. Narrative Section

(Maximum character limit: 25,000 characters or approximately 12 double-spaced pages, 12-point font)

We recommend that you review the elements of successful programs described in Section V. as you draft your responses.

<u>a. Program Design</u>
The Program Design must include the following:

- Definition and justification of your geographic service area of operation and why the small and midsize nonprofits within this area face significant resource challenges.
- Description of your selection process for identifying and engaging a group of small and midsize nonprofits in providing ongoing assistance, include:
    - The number you plan to select
    - How you will target small and midsize nonprofits and your criteria for determining small and midsize (for further definition see the end of this Section)
    - How you will identify organizations providing services that align with the Corporation's national priorities areas of **Education, Healthy Futures, Environmental Stewardship, Veterans and Military Families, Economic Opportunity**, and **Disaster Services** as defined earlier in Section I.
- Your philosophy, goals for, and approach to capacity building with small and midsize organizations.
- An overall framework and two-year timeline for delivering the following components over the course of the two years of the grant:
    - Key dates and tasks in the selection and on-boarding process for identifying and engaging a group of small and midsize nonprofits to receive ongoing assistance.
    - Key tasks and proposed dates for proposed capacity building activities for both your group of ongoing recipients and additional recipients.
    - Key tasks and dates for collecting and reporting data at defined intervals and evaluating the impact of your organizational development assistance.

- Your plan for communicating with recipients
- Description of the type of assistance you expect to provide – the content, the methods, and the source/s of expertise you will draw from (including your own staff, collaborating organizations, and the work of other experts/leaders in the field). For a description of acceptable capacity building activities under this Notice see the end of this Section.
- Description of how will you use existing organizational capacity, community resources, partnerships, and volunteers to implement your approach and ensure its success. If you are applying as a collaborative of more than one organization, define the role that each organization will play in administering the various components of the program design.

b. Organizational Capacity

Describe your capacity to implement and manage the proposed program. Your description should address the following:

- Your experience in designing, implementing and overseeing this kind of program and your past track record of results**.** Provide any data collected that documents successful capacity building interventions and talk about the methods you used to collect the data.
- The level of experience and expertise of key staff responsible for program oversight and delivery. If you do not have internal expertise in certain areas, identify key partners or collaborators and their expertise.
- Identify your organization's net assets and what percentage of the budget this grant would represent.
- Provide an overview of your organization's relevant systems, structure, and staffing to support this program.
- Describe the demonstrated experience and infrastructure your organization has in managing grants.

c. Cost-Effectiveness and Budget Adequacy

Provide the following information on separate lines:

- Describe how the proposed program budget aligns with the program's stated goals and structure.
- Describe the cash on hand and any proposed source(s) for additional portions of required non-Federal share.

4. Standard Form 424 Budget

The budget should describe how grant funds (both federal and non-federal) will be used to effectively support activities described in the proposal narrative over the two year life of the grant. Do not include unexplained amounts, amounts for miscellaneous or contingency costs, or unallowable expenses such as entertainment costs. Round all figures to the nearest dollar. Refer to the Federal cost principles at: http://www.whitehouse.gov/omb/circulars/index.html for information on allowable costs in Federal grants.

We recommend you prepare your project budget off-line before entering it into eGrants. eGrants will create the budget and the budget narrative automatically from the detailed budget information you enter.

Budget Categories are:

- Project Personnel Expenses
- Personnel Fringe Benefits
- Travel
- Equipment
- Supplies
- Contractual and Consultant Services *(not to exceed $617 person/day, excluding expenses)*
- Training
- Evaluation
- Other Support Costs
- Indirect Costs *(Administrative/Indirect Costs are limited, by statute, to 6% of the funds requested)*

5. Authorization, Assurances, and Certifications

eGrants requires that you review and verify your entire application before submitting, by completing the following sections in eGrants:

- Review
- Authorize
- Assurances
- Certifications
- Verify
- Submit

Read the Authorization, Assurances, and Certifications carefully (Attachment A also found as part of the application in eGrants). The person who authorizes the application must be the applicant's Authorized Representative or his/her designee and must have an active eGrants account to sign these documents electronically. An Authorized Representative is the person in your organization authorized to accept and commit funds on behalf of the organization. A copy of the governing body's authorization for this official representative to sign must be on file in the applicant's office.

Be sure to check your entire application to make sure that there are no errors before submitting it. eGrants will also generate a list of errors if there are sections that need to be corrected prior to submission when you verify the application. If someone else is acting in the role of the applicant's authorized representative, that person must log into his/her eGrants account to proceed with Authorize and Submit. After signing off on the Authorization, Assurances, and Certifications, his/her name will override any previous signatory and show on the application as the Authorized Representative.

Note: Anyone within your organization who will be entering information in the application at any point during application preparation and submission in the eGrants system must have their own eGrants account. Individuals may establish an eGrants account by accessing this link: https://egrants.cns.gov/espan/main/login.jsp and selecting "Don't have an eGrants account? Create an account."

6. Equal Opportunity Survey

Applicants are asked to complete the Survey on Ensuring Equal Opportunity for Applicants. The survey can be found at: http://www.nationalservice.gov/for_organizations/funding/nofa.asp. Submission of the survey is not required.

7. What other terms, definitions, or information are important to know in order to successfully complete the application?

Justification of a geographic service area that faces significant resource hardship challenges: As specified in the Serve America Act, intermediary grantees must provide assistance to small and midsize nonprofits in areas that face significant resource hardship challenges. For purposes of this Notice, areas facing resource hardship challenges means either:

> An area where the majority of the population of individuals or households being served by local nonprofits have a household income that is 200 percent or less of the applicable Federal poverty guideline, or
>
> An area with specific measurable indicators that correlate to resource hardship, such as high levels of unemployment, large numbers of home foreclosures, reduction in government funds and services, hit by recent natural disasters, or in rural geographic areas. An application that proposes to rely on measurable indicators should fully describe the basis for relying on those indicators (including citations to appropriate studies). The application must also describe and cite the source of data supporting the conclusion that the targeted service area meets the indicators.

For purposes of this Notice, a rural geographic area is one with a 2003 Rural-Urban Continuum Code of 4 or higher (as issued by the U.S. Department of Agriculture, Economic Research Service). The full list of Rural-Urban Continuum Codes is listed here: http://www.ers.usda.gov/briefing/rurality/ruralurbcon.

Definition of Small and Midsize Nonprofits. For the purposes of this *Notice,* criteria for determining a small or midsize nonprofit should be based on reasonable indicators such as budget size, staff size, program size, and scope. Recognizing that what qualifies as a large nonprofit in one geographic area may actually be considered small in another; the threshold should be set by the accepted level used within your service area. Please describe the basis for establishing your threshold citing any available local or state sources.

Acceptable assessment tools for use in the selection and reporting process. In order to ensure that the nonprofit organizations selected to receive ongoing assistance are in the greatest need of assistance and also fit a profile of "readiness" to receive and make use of assistance, we are requiring applicants to employ an existing assessment instrument or combination of assessment instruments. There are many assessment instruments on the market both for free and for-fee (for a comprehensive list of what's currently available see the Foundation Center's Tools and Resources for Assessing Social Impact). Data from the assessment/selection process will also constitute a baseline for measuring improvement on key indicators. Applicants should propose the assessment tool they intend to use as a part of their program design.

Acceptable capacity building activities. The program design should include a comprehensive strategy of various learning activities and methods to increase the knowledge, skills, and abilities of recipients to implement performance management systems as well as any other best practice areas to target for improvement.The applicants may also provide assistance in additional areas of best practices in nonprofit management including financial planning, grant-writing, and compliance with tax laws applicable to those being served with the intent that recipients will be able to show an increase in resources. Learning activities can include a wide range from face-to-face and online training, technical assistance in-person, by telephone and/or online, peer to peer, or expert consultation, coaching, and mentoring.

A small portion of funds can be used to provide minor capital investments in the capacity of certain recipients such as the purchase of specific software or systems to improve infrastructure. However, those strategies must be approved by the Corporation on a case-by-case basis, be accompanied by the appropriate capacity building assistance for the organization to fully implement the new system, and cannot impede the ability of the intermediary to conduct its overall organizational development assistance with other nonprofits in the service area.

Given the abundance of learning materials and strategies on subjects related to nonprofit capacity building, we will select intermediary organizations that demonstrate extensive knowledge and expertise of such materials and strategies and how to employ them on behalf of small and midsize nonprofits and/or who identify partner organizations with knowledge and expertise.

Other Submission Requirements:. Corporation program officers may call applicants to seek clarification, resolve questions and issues, negotiate performance measures, and request revised budgets as part of the pre-award review process. Failure to respond to requests for information in a timely fashion will result in the removal of applications from consideration. Applicants should be prepared to provide documentation of partnerships and other support described in the narrative such as Memoranda of Understanding, samples of selected curriculum, organization annual reports, and evaluations.

Is this funding opportunity subject to intergovernmental review?
Applicants under this program are not subject to Executive Order 12372 "Intergovernmental Review of Federal Programs".

What controls will be placed on use of the federal assistance, if awarded?
Grants and cooperative agreements awarded under this program are subject to the applicable OMB Circulars as well as the Federal Acquisition Regulations if an award goes to a for-profit organization. See www.whitehouse.gov/OMB/circulars for further information on the Circular(s) that apply to your organization. Also, awards will be subject to the law(s) under which the award is made (e.g., Serve America Act), as well as specific terms and conditions established in a cooperative agreement or defined in Provisions or Special Conditions attached to an award. Applicants will have an opportunity to negotiate conditions prior to acceptance of an award, if necessary.

Federal Grant Guidelines for Non-Profits
Administrative Requirements: § 45 CFR 2543 and § 2 CFR 215 (formerly A-110)
Cost Principles: § 2 CFR 230 (formerly A-122)
Audit Requirements: OMB A-133

V. Application Review Information

What is the selection process and criteria for these grants?

In evaluating applications for funding, reviewers will assess program design, organizational capacity, and cost-effectiveness and budget adequacy. The weights assigned to each category are listed in the chart below. Reviewers will assess application narratives against these criteria and the extent to which the applicant responds to the questions in this *Notice*. Please read this guidance carefully to ensure that you are fully and appropriately responding to the information requested in the application.

Basic Selection Criteria: Categories and Respective Weights

Category	Percentage
Program Design	35%
Organizational Capability	45%
Cost-Effectiveness and Budget Adequacy	20%

<u>Program Design (35%)</u>

Program designs may vary, but all programs must involve, and will be evaluated in relation to, the following indicators:

Eligibility criteria related to Program Design

1. **Status of the organization as a nonprofit as described in Section III.** Does the organization fit the required definition?

2. **Definition of the applicant's defined geographic service area as defined in Section III.** Does the geographic area include a relevant number of small and midsize nonprofits that could benefit from assistance under this award? Does the applicant identify a connection to nonprofit organizations and other institutional partners in the service area? Is there data to support the requirement that the nonprofit organizations in this service area face significant resource challenges?

The Corporation will consider the quality of the proposed program design based upon:

1. **The soundness, relevance, and innovation of the applicant's plan** including goals, tasks, and reasonable timeline. Do the proposed activities make sense and is the program designed so that progress can be measured at defined intervals?

3. **Description of the process for selecting an appropriate number of small and midsize nonprofits**. Are there criteria for defining small and midsize nonprofits in the service area? Does the applicant demonstrate an understanding of the kinds of services that selected nonprofits must be providing the community? Does the assessment instrument being proposed and the process for administering it make sense? How will the applicant determine need and readiness in selecting beneficiaries of their services? Will the applicant have a baseline of data to report against at the end of the selection process? Will

the applicant be able to implement and complete the selection process in a timely manner to be able to implement the program and show results by the end of the first award period?

4. **Description of capacity building strategies**. Does the applicant propose an approach to working with the selected nonprofits in an ongoing relationship that makes sense? Does the number of selected nonprofits proposed in the program make sense for the level of funding requested? Will it produce measurable results in increased sustainability and service delivery? Do proposed program activities connect to the measurement and reporting of outcomes? Does the applicant propose an approach to reaching small and midsize nonprofit organizations beyond the selected group that will participate in at least some of the trainings? Are the materials and curriculum identified as possible content considered the best in class or are they innovative for the content area? Does the applicant demonstrate an awareness of the latest thinking and resources for small and midsize nonprofits? Does the applicant show familiarity and comfort with using a variety of learning methods including technology? Is it highly likely that this program will make a difference to the nonprofits in the service delivery area defined?

5. **Identification and plan for working with other community resources**. Does the applicant show an awareness of additional community resources in the service delivery area and show a plan for leveraging those relationships on behalf of the recipients under this grant?

<u>Organizational Capability (45%)</u>

Eligibility Criteria related to Organizational Capability:

1. **Demonstrates a strong track record of providing organizational development or capacity building assistance focusing on small and midsize nonprofit organizations.** Does the applicant describe how they have worked with similar kinds of organizations in the past? Have they described specific examples of capacity building strategies they have used with similar organizations that have resulted in demonstrated improvement in either operations or services? Have they indicated when these services were provided and to whom? Do they demonstrate expertise or awareness of available resources they can use in identified key content areas? Do they convey a thorough understanding of the best practices of effective nonprofits and an understanding of the strategies for building capacity? Do they convey a particular understanding of the issues facing small and midsize nonprofits in their particular service delivery area?

The Corporation will consider the organizational capability of the applicant based on the following criteria related to characteristics of effective intermediary organizations:

1. **Aligns with communities they serve.** The organization and its leaders are well-known by other community leaders and respected for their substantive support of local partner organizations that serve high risk populations. Their mission and programs are aligned with the organizations they serve. The organization is culturally competent and reflects the values of the communities they serve.

2. **Offers a variety of replicable services.** The organization offers an array of services for a range of local partner organizations. It has a systematic approach that links technical and financial assistance to rigorous organizational assessments. The organization is able to identify its best practices, the conditions that led to success, and be able to package its services for replication in other communities or with other populations.
    a. The organization demonstrates core competencies in a wide range of capacity-building skills.
    b. The organization has replicated its programs with a diverse group of organizations.
    c. The organization is widely viewed by communities as the place to go for assistance.

3. **Commitment for the long haul.** The organization understands that organizational growth does not occur as the result of a one-day workshop or other short term interventions. It is committed to its mission and to the services it provides to its communities. It employs strategic processes that involve long-term training, support, and monitoring to ensure the impact and durability of their training and services. The organization employs a staff with the capacity to achieve the organization’s long-term goals.

4. **Capacity to attract high quality staff.** The organization attracts high-quality staff with capacity-building, consulting, and training expertise. The organization ensures that the staff is equipped with the support they need to succeed. The organization also takes initiative to identify areas in which it lacks internal capacity and to secure outside resources of high quality to support it.
    a. The organization’s staff has a high level of training or higher education in their field.
    b. Experts support the organization and make public note of its leadership or staff as exemplary.
    c. The organization’s staff has published materials or developed impactful training or curricula.

5. **Focuses on outcomes.** The organization is not content with only providing training and technical assistance. It collaborates with each local partner organization it serves to ensure that the funding or services provided result in improved performance. It evaluates their training and technical assistance to improve it.
    a. The organization employs a logic model that includes inputs, activities, outputs, indicators, and outcomes.
    b. The organization ensures that all of its outcomes are aligned with its goals and with the goals of the funder.
    c. The organization collects, analyzes, and reports its outcome data, and uses the data to improve services.

6. **Maintenance of standards.** The organization knows that it will be evaluated for fiscal and organizational performance, including the proper use of any public funds. The organization creates and adheres to organizational and fiscal plans, and it maintains excellent records.

   a. The organization uses a budget and financial tracking system to allocate all expenses.
   b. The organization has a record of securing and properly managing public and private grants.
   c. The organization complies with laws regulating the public funding of religious organizations, and ensures that public funds are only used for non-religious activities.

7. **Ability to sustain new initiatives.** The organization has a track record of starting new initiatives and maintaining them beyond the period of initial funding. It develops realistic plans to sustain new initiatives and use various funding methods to support projects before the end of the grant period. The organization possesses the creative vision and entrepreneurship to launch and fund new initiatives.
   a. The organization has a track record of both attracting and maintaining new initiatives.
   b. The organization develops sustainability plans for new initiatives.
   c. The organization can draw from diverse revenue sources to maintain an initiative.

8. **Productive partnerships.** The organization has a track record and culture of collaboration and partnership. It understands the value of strong, effective provider networks, as well as strong organizations. It knows how to form and sustain partnerships to achieve shared goals.
   a. The organization has partnership goals and has achieved outcomes.
   b. The organization collaborates with partners in other sectors.
   c. The organization actively participates in community task forces, coalitions, and planning groups.

9. **Fundraising.** The organization has a track record of raising funds within the community to support its operations.

<u>Cost Effectiveness/ Budget Adequacy (20%)</u>

In evaluating the cost-effectiveness and budget adequacy of your proposed program, the Corporation will consider:

1. **Evidence of a plan to secure required non-Federal share to support this proposed budget**. Describe the cash on hand and any proposed source(s) for additional portions of required non-Federal share. (As noted previously, applicants must demonstrate the ability to meet the cash requirement as a part of applicant clarification, which will occur after the application deadline but before the end of August.)
2. **Adequacy of budget to support the proposed program**. Are the costs associated with the various activities of the budget sufficient and appropriate? Did the applicant account for all of the costs?
3. **Evidence of cost-effectiveness.** Is the applicant leveraging partnerships and other access to free or reduced cost-resources? Is the number of recipients the applicant proposes to serve appropriate to the level of investment of resources?

What is the purpose of the review and selection process?

Specifically, the review and selection process is designed to:

- Give every eligible application full and fair consideration
- Select a high-quality, well-balanced portfolio of programs

Additional Considerations:

- The number of small and midsize nonprofit organizations that will be served by the applicant.
- The degree to which the proposed activities will assist a wide number of nonprofit organizations within the defined geographic service area of operation, relative to the proposed amount of the grant.
- The quality of the organizational developmental assistance to be delivered by the intermediary nonprofit grantee, including the qualifications of its administrators and representatives, and its record in providing services to small and midsize nonprofit organizations.
- Geographic diversity, balancing grantees on a state and/or regional basis.
- For past and existing grantees, past grant performance will be taken into consideration in making funding decisions.

What are the stages in the review and selection process?

1. Compliance Review

CNCS staff will review all applications to determine compliance with eligibility, deadline, and completeness requirements. Applications that are submitted by eligible organizations, submitted by the deadline, and that are complete, will advance to Internal Review.

2. Internal Review

CNCS staff will assess applications based on the published selection criteria. Following staff assessment, some applicants shall receive requests to provide clarifying information, including verification of match. (See section III. page 5 of this *Notice*.) Clarification information is used by CNCS staff in making final recommendations. A request for clarification does not guarantee a grant award. Failure to respond to requests for information in a timely fashion will result in the removal of applications from consideration. CNCS staff will then determine which applications to recommend for selection based on the results of Internal Review and Clarification; and the priorities, balancing characteristics, additional considerations, and strategic characteristics listed above.

3. Selection

The Chief Executive Officer will select the final portfolio based on staff recommendation, and considering overall quality, priorities, balancing characteristics, additional considerations, and strategic characteristics listed above.

***Note*: The CNCS reserves the right to change the review model depending on the number of application received and other unanticipated factors.**

What feedback will applicants receive?

Following grant awards, each applicant will receive the results of the review pertaining to their application.

VI. Award Administration Information

When will agreements be awarded?

The Corporation will award grants following the selection announcement. We anticipate announcing the results of this competition by the end of September, 2011. **The project start date may not occur prior to award date**.

What documents govern the cooperative agreement?

Cooperative agreements are incorporated in the Notice of Grant Award (NGA). The NGA incorporates the approved application as part of a binding commitment under the award.

What other administrative and national policy requirements apply?

The Notice of Grant Award (NGA) will be subject to and incorporate the requirements of section 198k of the National and Community Service Act of 1990 as well as other applicable sections of the Act. The NGA will also incorporate the approved application and budget as part of the binding commitments under any award. Awardees will be subject to the following (as applicable):

- 2 CFR Part 175—Award term for trafficking in persons
- 2 CFR Parts 180 and 2200—Nonprocurement Debarment and Suspension
- 2 CFR Part 215 and 45 CFR Part 2543—Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A-110)
- CFR Part 220—Cost Principles for Educational Institutions (OMB CircularA-21)
  CFR Part 230—Cost Principles for Non-Profit Organizations (OMB Circular A-122)
- 2 CFR Parts 182, 2245—Government-wide Requirements For Drug-Free Workplace (Financial Assistance)
- 45 CFR Part 2555—Nondiscrimination On The Basis Of Sex In Education Programs Or Activities Receiving Federal Financial Assistance
- The Single Audit Act (31 U.S.C. Chapter 75) and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations (Available at: http://www.whitehouse.gov/omb/assets/omb/circulars/a133/a133.pdf)

Can my organization benefit from materials produced as a result of this award?

Our preference is to leverage existing materials rather than invest substantially in the development of new materials under this award. If, however, any original materials are produced and distributed with Corporation funding they must be made available to the public and readily accessible through the Corporation's web based Resource Center. The Corporation reserves a royalty-free, nonexclusive, and irrevocable right to obtain, use, modify, reproduce, publish, or disseminate publications and materials produced under the award, including data, and to authorize others to do so.

What are the requirements for access for persons with disabilities?

All grant recipients shall ensure that capacity building activities and online environments are accessible to persons with disabilities, as required by law.

- Notify potential participants that reasonable accommodations will be provided upon request.
- Provide sign language interpreters, special assistance, and documents in alternate formats.
- Use accessible locations for training events.
- Use accessible technology, captioning videos. Avoid non-voice-over formats and, when indicating a telephone number, include a non-voice telephone alternative such as TTY or e-mail.
- Provide materials that are accessible to persons with disabilities, and incorporate into all activities planning for needs of clients without Internet access, by using accessible technology, providing materials in alternate formats upon request.

What requirements are there of grantees?
The award recipient must:

- Submit copies of all curricula, handouts, and other materials used to the Resource Center, the Corporation's knowledge management provider, for web-posting;
- As directed, use the Corporation's brand and provided graphic templates on materials produced and/or reproduced and distributed under this grant;
- Participate in, organize, or facilitate learning communities of the Nonprofit Capacity Building intermediaries. Establishment of learning communities under the NCBP will enable grantees to meet, discuss, and collaborate with each other.
- In accordance with the terms of the Cooperative Agreement substantially involve the Corporation's cognizant Program Officer in the management of the project through joint work and budget planning, materials development and all other aspects of the program.

What are the reporting requirements for these agreements?
A semi-annual financial and narrative progress reports are submitted through the Corporation's web-based grants management system, eGrants, no later than 30 days after the close of each reporting period. The reports will include:

- Federal Financial Report (FFR).
- Submission of data of outputs related to capacity building activities via a Budget, Performance, and Management Reporting (BPMR) Form (i.e. number of trainings conducted during the reporting period, number of persons trained, etc.) Grantees will submit projected numbers and kinds of activities based on their proposal using the BPMR form during the negotiation of the award and will report on actuals at the end of the reporting period.
- Narrative discussion of the activities during the period and any analysis of differences between budgeted and actual activities and costs.
- For face-to-face and online training activities, grantees will be required to administer a standardized customer satisfaction survey and report aggregated data.
- Progress against performance measures.

Special reports as may be reasonably requested by the cognizant Program Officer.

In addition, to submission of required semi-annual reports, the award recipient completing an agreement period will be required to submit final financial and progress reports that are cumulative over the entire award period and consistent with the close-out requirements of the Corporation's Office of Grants Management. The final reports are due 90 days after the end of the agreement.

See Appendix B for additional requirements on Transparency Act Award Terms.

VII. Performance Measures

Are performance measures required for the NCBP? What are they?

Yes. The Corporation is committed to the timely measuring of results that can be attributed to the financial investment in the NCBP. As a result, we have identified a limited number of key indicators in advance and will require intermediaries to collect data that can be aggregated across grantees and reported to Congress and other third-party funders. Grantees will be required to regularly report on improvements/progress of nonprofits throughout the grant period (see Section VI for reporting requirements). While grantees are free to determine the complete list and range of indicators to assess, we will require the following to be included:

The nonprofit recipient:

1. Has written plans for each service delivery area including goals, objectives, target clients, and projected outcomes.
2. Has identified specific indicators to measure outcomes of service delivery.
3. Has identified data sources and data collection procedures for each indicator.
4. Has technology systems in place to track activities and collect data against indicators.
5. Collects data against indicators according to data collection procedures.
6. Analyzes data collected and summarizes results.
7. Can demonstrate improvement based on indicators measured.
8. Has a performance appraisal process where individual performance is tied to organizational performance, formally documented, and feedback delivered.
9. Uses data to improve service delivery, reward staff performance, and inform management decisions.
10. Regularly informs stakeholders and funders of the impact they are having in the community.

As a part of the semi-annual progress report, intermediary grantees will be required to report on the numbers and percentage of organizations in their selected cohort that:

1. Have made progress on one or more of the above indicators.
2. Have fully implemented a performance management system based on the above indicators.

In addition, intermediaries may report any documented progress on key indicators of the grantees choosing based upon the assessment of their selected nonprofit cohort.

VIII. *Agency Contact*

This *Notice* is available at http://www.nationalservice.gov/for_organizations/funding/nofa.asp. The TTY number is 202–606-3472. For further information or for a printed copy of this *Notice*, send an email to NCB@cns.gov with your specific question(s) or request(s).

For technical questions and problems with the eGrants system, call 800-942-2677 or use the following link: https://questions.nationalservice.gov/app/ask

Be prepared to provide the application ID, organization's name, and the NOFO to which you are applying. National Service Hotline hours are 8:00 a.m. to 8:00 p.m. Eastern Time Monday through Friday.

The Corporation's mail address is:

Corporation for National and Community Service
ATTN: Office of Grants Policy and Operations/NCB Application
1201 New York Avenue NW
Washington, DC 20525

IX. *Training and Technical Assistance*

Will the Corporation provide technical assistance with the application?

The Corporation will host two technical assistance calls to answer questions from potential applicants about this funding opportunity, including submitting the application through eGrants, the Corporation's web-based application system. Applicants are strongly encouraged to participate in at least one of these calls. The first call will be held on July 19, 2011 at 3:00 p.m., Eastern Time and the second on July 25, 2011 at 3:00 p.m. Eastern Time. Call-in information for these technical assistance calls will be made available on the Corporation's web site http://www.nationalservice.gov/for_organizations/funding/nofa.asp. The calls will be recorded and posted to the website. A Frequently Asked Questions (FAQ), with answers, will be posted at this same website during the period prior to the proposal due date.

ATTACHMENT A

ASSURANCES

As the duly authorized representative of the applicant, I certify, to the best of my knowledge and belief, that the applicant:

- Has the legal authority to apply for federal assistance, and the institutional, managerial, and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.
- Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- Will establish safeguards to prohibit employees from using their position for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
- Will comply with all federal statutes relating to nondiscrimination. These include but are not limited to: Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color, or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686). which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of disability (d) The Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290dd-3 and 290ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the National and Community Service Act of 1990, as amended; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of federal participation in purchases.
- Will comply with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
- Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C 276a and 276a-77), the Copeland Act (40 U.S.C 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for Federally assisted construction sub-agreements.
- Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires the recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.
- Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C 1451 et seq.); (f) conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
- Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

- Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16U.S.C. 469a-l et seq.).
- Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
- Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
- Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984, as amended, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations.
- Will comply with all of the requirements of Subpart C of 2 CFR Parts 180, 2200 , implementing E.O. 12549, regarding restrictions on doing business with suspended, debarred and otherwise disqualified entities
- Will comply with all of the requirements for providing a drug-free workplace on a continuing basis as set out in Subpart B of 2 CFR Parts 182, 2245, implementing sec.5151 – 5160 of the Drug-Free Workplace Act of 1988 (P.L. 100-690).
- Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, application guidelines, and policies governing this program.

ATTACHMENT B: Additional Requirements:

CENTRAL CONTRACTOR REGISTRATION (CCR) and UNIVERSAL IDENTIFIER REQUIREMENTS

1. Requirement for Central Contractor Registration (CCR): Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

2. Requirement for Data Universal Numbering System (DUNS) Numbers. If you are authorized to make subawards under this award, you:
   a. Must notify potential subrecipients that no entity (see definition in paragraph 3. of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
   b. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

3. Definitions. For purposes of this award term:
   a. Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at http://www.ccr.gov).
   b. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at http://fedgov.dnb.com/webform).
   c. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
      i. A Governmental organization, which is a State, local government, or Indian Tribe;
      ii. A foreign public entity;
      iii. A domestic or foreign nonprofit organization;
      iv. A domestic or foreign for-profit organization; and
      v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
   d. Subaward:
      i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
      ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ----.210 of the attachment to OMB Circular A-133, ``Audits of States, Local Governments, and Non-Profit Organizations'').

iii. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

e. Subrecipient means an entity that:
   i. Receives a subaward from you under this award; and
   ii. Is accountable to you for the use of the Federal funds provided by the subaward.

TRANSPARENCY ACT AWARD TERM (for Grants and Cooperative Agreements of $25,000 or More)

Reporting Subawards and Executive Compensation:

1. Reporting of first-tier subawards.
   a. Applicability. Unless you are exempt as provided in paragraph 4 of this award term, you must report each action that obligates $25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph 5. of this award term).
   b. Where and when to report.
      i. You must report each obligating action described in paragraph a.i. of this award term to http://www.fsrs.gov.
      ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
   c. What to report. You must report the information about each obligating action that the submission instructions posted at http://www.fsrs.gov specify.

2. Reporting Total Compensation of Recipient Executives.
   a. Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if--
      i. the total Federal funding authorized to date under this award is $25,000 or more;
      ii. in the preceding fiscal year, you received--
         (a.) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
         (b.) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
      iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)
   b. Where and when to report. You must report executive total compensation described in paragraph 2.a. of this award term:
      i. As part of your registration profile at http://www.ccr.gov.

ii. By the end of the month following the month in which this award is made, and annually thereafter.

3. Reporting of Total Compensation of Subrecipient Executives.
   a. Applicability and what to report. Unless you are exempt as provided in paragraph 4. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if--
      i. in the subrecipient's preceding fiscal year, the subrecipient received--
         (a.) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
         (b.) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards; and
      ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)
   b. Where and when to report. You must report subrecipient executive total compensation described in paragraph 3.a. of this award term:
      i. To the recipient.
      ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

4. Exemptions. If, in the previous tax year, you had gross income, from all sources, under $300,000, you are exempt from the requirements to report:
   a. Subawards, and
   b. The total compensation of the five most highly compensated executives of any subrecipient.

5. Definitions. For purposes of this award term:
   a. Entity means all of the following, as defined in 2 CFR part 25:
      i. A Governmental organization, which is a State, local government, or Indian tribe;
      ii. A foreign public entity;
      iii. A domestic or foreign nonprofit organization;
      iv. A domestic or foreign for-profit organization;
      v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
   b. Executive means officers, managing partners, or any other employees in management positions.
   c. Subaward:

    i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
    ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ---- .210 of the attachment to OMB Circular A-133, ``Audits of States, Local Governments, and Non-Profit Organizations").
    iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
d. Subrecipient means an entity that:
    i. Receives a subaward from you (the recipient) under this award; and
    ii. Is accountable to you for the use of the Federal funds provided by the subaward.
e. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
    i. Salary and bonus.
    ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
    iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
    iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
    v. Above-market earnings on deferred compensation which is not tax-qualified.
    vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.